

SECURITIES AND FUTURES ACT (CHAPTER 289)  
SECURITIES AND FUTURES (OFFERS OF  
INVESTMENTS) (COLLECTIVE INVESTMENT  
SCHEMES) REGULATIONS 2005  
**APPLICATION FOR RECOGNITION OF A  
COLLECTIVE INVESTMENT SCHEME UNDER  
SECTION 287(1)**

FORM

**2**

**I EXPLANATORY NOTES**

1. Please read the explanatory notes and questions carefully before completing the application form.
2. All questions must be answered. If a question is not applicable, please mark "N.A." in the space provided. Should there be insufficient space for your answers, please attach annex(es) which should be identified as such and signed by the signatories to this application.
3. Where there is an asterisk (\*), please delete whichever is inapplicable.
4. Please tick (✓) in the relevant boxes where appropriate.
5. Unless stated otherwise, the information provided in the application form must be correct as at a date not earlier than 14 days before the date of application.
6. All dollar amounts are to be stated in Singapore dollars.
7. This application is to be made by the responsible person of the collective investment scheme constituted outside Singapore seeking recognition under section 287(1) of the Securities and Futures Act (Cap. 289), and signed by 2 Directors or a Director and the Secretary of the responsible person. A Director or the Secretary may authorise a person in writing to sign this application on his behalf, in which case, the authorisation or a copy of the authorisation accompanied by a statement by the person submitting the application verifying that he has compared the copy with the original authorisation and is satisfied that it is a true copy of the original authorisation, shall be annexed to the application.
8. Where the responsible person of the collective investment scheme has notice of a material change in the information submitted to the Monetary Authority of Singapore (the "Authority") as part of this application, whether prior to or after recognition, the responsible person should notify the Authority immediately.
9. Please attach a Singapore dollar cheque or Singapore dollar bank draft made payable to "Monetary Authority of Singapore" for the non-refundable application fee prescribed under regulation 4 of the Securities and Futures (Offers of Investments) (Collective Investment Schemes) Regulations 2005.
10. All terms used in this Form shall, except where expressly defined in this Form or where the context otherwise requires, have the same meaning as defined in the Securities and Futures Act (Cap. 289) (the "Act") or the relevant subsidiary legislation.

FOR OFFICIAL USE ONLY

Application received on:

Cheque No:

Remarks:

**II APPLICATION IS HEREBY MADE FOR RECOGNITION UNDER SECTION 287(1) OF THE SECURITIES AND FUTURES ACT (CAP. 289).**

**III INFORMATION ON THE COLLECTIVE INVESTMENT SCHEME**

1. Name of the collective investment scheme (“the scheme”):  
\_\_\_\_\_
2. If the scheme is/is to be\* a sub-fund of an umbrella fund, state the name of the umbrella fund.  
\_\_\_\_\_

- 3.(a) State the jurisdiction and applicable law (relating to the type of scheme) under which the scheme is/will be\* principally regulated, and the regulatory authority of the scheme.  
\_\_\_\_\_  
\_\_\_\_\_

- (b) State the jurisdiction in which the scheme was constituted (if different from that stated in question 3(a)).  
\_\_\_\_\_

- (c) Indicate the type of scheme<sup>1</sup>.

- |  |   |
|--|---|
| <input type="checkbox"/> Equity Fund             | <input type="checkbox"/> Fund of Funds <sup>2</sup>       |
| <input type="checkbox"/> Fixed Income Fund       | <input type="checkbox"/> Hedge Fund / Fund of Hedge Funds |
| <input type="checkbox"/> Balanced Fund           | <input type="checkbox"/> Index Fund                       |
| <input type="checkbox"/> Money Market Fund       | <input type="checkbox"/> Property Fund                    |
| <input type="checkbox"/> Capital Guaranteed Fund | <input type="checkbox"/> Others: _____                    |

If the scheme is a capital guaranteed fund, please provide details on the guarantor including its credit rating, country of registration and regulatory authority.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- (d) Is the scheme/Will the scheme\* be listed on an approved exchange? Yes  No

If the answer to (d) is “Yes”, please attach evidence of the permission to list and deal in and for quotation of units in the scheme on the approved exchange. If an application has been made but the scheme has yet to be approved, please submit evidence to the Authority immediately upon the scheme’s approval by the approved exchange.

4. Please attach evidence of the scheme’s registered status in the jurisdiction stated in question 3(a). If an application has been made for registration of the scheme there but the scheme has yet to be registered, please submit evidence to the Authority immediately upon the scheme’s registration in that jurisdiction.

5. Describe the investment objective(s) of the scheme.  
\_\_\_\_\_  
\_\_\_\_\_

<sup>1</sup> Please refer to the Appendices of the Code on Collective Investment Schemes for definitions of schemes. Please tick all relevant boxes that apply to the scheme.

<sup>2</sup> Please refer to Chapter 4.1(b) Guidance 2 of the Code on Collective Investment Schemes for the definition of ‘fund-of-funds’.

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6. Describe the investment approach of the manager of the scheme.
- 
- 
- 
7. Is the scheme/Will the scheme\* be using a synthetic replication strategy? Yes  No
8. Is the scheme/Will the scheme\* be carrying out securities lending or repurchase transactions? Yes  No
9. Describe any novel features of the scheme not characteristic of collective investment schemes authorised or recognised by the Authority that may reasonably be expected to have a material impact on investors (for example, a fixed maturity for an equity fund, the imposition of sales charges other than by way of a front end load).
- 
- 
- 
10. Are performance fees payable by the scheme? Yes  No
11. Please attach copies of the scheme's prospectus and latest audited financial statements (if applicable).
12. In the case of a scheme which is authorised as a UCITS scheme in the European Union and which intends to use or invest in financial derivative instruments, please attach –
- (a) documentation of the scheme's risk management process filed with the regulatory authority stated in question 3(a); and
- (b) where available, evidence that the scheme's risk management process has been approved by that regulatory authority.
13. Fund size of the scheme in equivalent Singapore dollars (if applicable):
- 
14. Place where books and records of the scheme are/will be\* kept:
- 
- 
15. Indicate the structure of the scheme.
- Unit Trust
- Corporation
- Contractual
- Other (specify) \_\_\_\_\_
16. Please confirm that the scheme is not a closed-end fund<sup>3</sup>.

#### IV INFORMATION ON THE MANAGER

17. Name of manager of the scheme:
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<sup>3</sup> As defined under section 2 of the Act, a closed-end fund is excluded from the definition of a collective investment scheme. Hence, application for recognition as a collective investment scheme is not applicable to such a fund.

18. Place of incorporation of manager of the scheme:  
\_\_\_\_\_
19. Name of regulatory authority of manager of the scheme:  
\_\_\_\_\_
20. Is the manager of the scheme currently licensed or authorised to conduct fund management in the jurisdiction of its principal place of business? Yes  No
21. Number of years manager has carried on business in fund management:  
\_\_\_\_\_
22. Total assets under management (latest available figures):
- |                                   |       |
|-----------------------------------|-------|
| (a) Collective investment schemes | _____ |
| (b) Other                         | _____ |
| Total                             | _____ |
- as at (date) \_\_\_\_\_
23. Within the past 10 years, has the manager of the scheme
- (a) been refused the right or restricted in its right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law in any jurisdiction? Yes  No
  - (b) been issued a prohibition order under any Act administered by the Authority or been prohibited from operating in any jurisdiction by any financial services regulatory authority? Yes  No
  - (c) been censured, disciplined, suspended or refused membership or registration by, any regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere? Yes  No
  - (d) been the subject of any complaint made reasonably and in good faith, relating to activities that are regulated by the Authority or under any law in any jurisdiction? Yes  No
  - (e) been the subject of any proceedings of a disciplinary or criminal nature or been notified of any potential proceedings or of any investigation which might lead to those proceedings, under any law in any jurisdiction? Yes  No
  - (f) been convicted of any offence or is being subject to any pending proceedings which may lead to a conviction of any offence, under any law in any jurisdiction? Yes  No
  - (g) had any judgment (in particular, that associated with a finding of fraud, misrepresentation or dishonesty) entered against it in any civil proceedings or is a party to any pending proceedings which may lead to such a judgment, under any law in any jurisdiction? Yes  No
  - (h) accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction? Yes  No
  - (i) had any civil penalty enforcement action taken against it by the Authority or any other regulatory authority under any law in any jurisdiction? Yes  No

- (j) contravened or abetted another person in contravening any laws or regulations, business rules or codes of conduct, whether in Singapore or elsewhere?  
Yes  No
- (k) been the subject of any investigations or disciplinary proceedings or been issued a warning or reprimand by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere?  
Yes  No
- (l) been refused a fidelity or surety bond, whether in Singapore or elsewhere?  
Yes  No
- (m) been or is unable to fulfill any of its financial obligations, whether in Singapore or elsewhere?  
Yes  No
- (n) entered into a compromise or scheme of arrangement (including a debt repayment scheme) with its creditors, or made an assignment for the benefit of its creditors, being a compromise, scheme of arrangement or assignment that is still in operation, whether in Singapore or elsewhere?  
Yes  No
- (o) been or is subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Singapore or elsewhere?  
Yes  No
- (p) been or is the subject of a winding up petition, whether in Singapore or elsewhere?  
Yes  No
- (q) been dissolved or is in the course of being wound-up, whether in Singapore or elsewhere?  
Yes  No
- (r) been or is a corporation where a receiver, receiver and manager, judicial manager, or such other person having the powers and duties of a receiver, receiver and manager, or judicial manager, has been appointed in relation to, or in respect of any property of, the corporation, whether in Singapore or elsewhere?  
Yes  No

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to question 23 is “Yes”.

24. Please state the name of either the manager of the scheme or an entity related to the manager of the scheme in Singapore managing funds either as the holder of a capital markets services licence or as an exempt person:

\_\_\_\_\_

25. Where the entity named in the answer to question 24 is not the manager of the scheme, please state the relationship between the entity and the manager.

\_\_\_\_\_

26. Please provide the amount of discretionary funds<sup>4</sup> managed in Singapore by the manager of the scheme and its related corporations (correct as of a date no earlier than three months before the date of this application):

\_\_\_\_\_ as at (date) \_\_\_\_\_

<sup>4</sup> Funds managed in-house by the manager/related entity, where the manager/related entity has substantial input in the investment management process, and where it has the authority to make investment decisions. If the manager/related entity manages a portion of a fund (e.g. the Asian mandate of a global fund) include only the portion where the manager/related entity has discretionary management responsibility.

## V INFORMATION ON INVESTMENTS IN OTHER COLLECTIVE INVESTMENT SCHEMES

27. Will more than 10% of the scheme be invested in a collective investment scheme authorised or recognised by the Authority (“other authorised or recognised scheme”)? Yes  No

If the answer to question 27 is “Yes”, please attach for each collective investment scheme an annex(es) containing the following details:

- (a) Name of the other authorised or recognised scheme;
  - (b) Percentage of scheme to be invested in the other authorised or recognised scheme;
  - (c) Rationale for investing in the other authorised or recognised scheme.
28. Will more than 10% of the scheme be invested in a collective investment scheme that is not authorised or recognised by the Authority (“other scheme”)? Yes  No

If the answer to question 28 is “Yes”, please attach for each collective investment scheme a copy of its prospectus and annex(es) containing the following details:

- (a) Name of the other scheme;
  - (b) Percentage of the scheme to be invested in the other scheme;
  - (c) Rationale for investing in the other scheme;
  - (d) Investment objective of the other scheme;
  - (e) Investment approach of manager of the other scheme;
  - (f) Place of registration of the other scheme;
  - (g) Regulatory authority of the other scheme;
  - (h) Type of scheme and relevant law under which the other scheme is regulated in its place of registration;
  - (i) Name of manager of the other scheme;
  - (j) Place of incorporation of manager of the other scheme;
  - (k) Name of regulatory authority of manager of the other scheme;
  - (l) Number of years manager of the other scheme has managed funds;
  - (m) Amount of funds managed by manager of the other scheme;
  - (n) Brief description of relationship between manager of the other scheme and manager of scheme, if applicable;
  - (o) Place of incorporation of trustee and custodian of the other scheme;
  - (p) Name of regulatory authority of trustee and custodian of the other scheme.
29. Apart from the other schemes in question 28, will any part of the scheme property be invested in any other collective investment scheme that is not authorised or recognised by the Authority (“other scheme”)? Yes  No

If the answer to question 29 is “Yes”, please attach an annex(es) containing the criteria used to select the collective investment schemes, including the following details:

- (a) Place of registration of the other scheme;
- (b) Regulatory authority of the other scheme;

- (c) Type of scheme and relevant law under which the other scheme is regulated in its place of registration;
- (d) Place of incorporation of manager of the other scheme;
- (e) Name of regulatory authority of manager of the other scheme.

## **VI INFORMATION ON SUBMANAGERS**

30. Will more than 10% of the scheme be managed by a submanager? Yes  No

If the answer to question 30 is “Yes”, please answer question 31. Otherwise, please proceed to Part VII.

31. Please attach annex(es) containing the following details for each submanager:
- (a) Name of submanager;
  - (b) Place of registration of submanager;
  - (c) Name of regulatory authority of submanager;
  - (d) Number of years submanager has carried on business in fund management;
  - (e) Amount of funds managed by submanager;
  - (f) Brief description of relationship between submanager and manager, if applicable;
  - (g) Information with respect to questions 23(a) to (r) (with references in questions 23(a) to (r) to “manager” to be read as “submanager” accordingly).

## **VII INFORMATION ON THE RESPONSIBLE PERSON<sup>5</sup>**

32. Is the responsible person of the scheme a different entity from the manager?  
Yes  No

If the answer to question 32 is “Yes”, please answer questions 33. Otherwise, please proceed to Part VII.

33. Within the past 10 years, has the responsible person of the scheme
- (a) been refused the right or restricted in its right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law in any jurisdiction? Yes  No
  - (b) been issued a prohibition order under any Act administered by the Authority or been prohibited from operating in any jurisdiction by any financial services regulatory authority? Yes  No
  - (c) been censured, disciplined, suspended or refused membership or registration by, any regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere? Yes  No
  - (d) been the subject of any complaint made reasonably and in good faith, relating to activities that are regulated by the Authority or under any law in any jurisdiction? Yes  No
  - (e) been the subject of any proceedings of a disciplinary or criminal nature or been notified of any potential proceedings or of any investigation which might lead to those proceedings, under any law in any jurisdiction? Yes  No

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<sup>5</sup> Where the scheme is constituted as a corporation, the responsible person is the corporation itself. Otherwise, the responsible person is the manager of the scheme.

- (f) been convicted of any offence or is being subject to any pending proceedings which may lead to a conviction of any offence, under any law in any jurisdiction? Yes  No
- (g) had any judgment (in particular, that associated with a finding of fraud, misrepresentation or dishonesty) entered against it in any civil proceedings or is a party to any pending proceedings which may lead to such a judgment, under any law in any jurisdiction? Yes  No
- (h) accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction? Yes  No
- (i) had any civil penalty enforcement action taken against it by the Authority or any other regulatory authority under any law in any jurisdiction? Yes  No
- (j) contravened or abetted another person in contravening any laws or regulations, business rules or codes of conduct, whether in Singapore or elsewhere? Yes  No
- (k) been the subject of any investigations or disciplinary proceedings or been issued a warning or reprimand by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere? Yes  No
- (l) been refused a fidelity or surety bond, whether in Singapore or elsewhere? Yes  No
- (m) been or is unable to fulfill any of its financial obligations, whether in Singapore or elsewhere? Yes  No
- (n) entered into a compromise or scheme of arrangement (including a debt repayment scheme) with its creditors, or made an assignment for the benefit of its creditors, being a compromise, scheme of arrangement or assignment that is still in operation, whether in Singapore or elsewhere? Yes  No
- (o) been or is subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Singapore or elsewhere? Yes  No
- (p) been or is the subject of a winding up petition, whether in Singapore or elsewhere? Yes  No
- (q) been dissolved or is in the course of being wound-up, whether in Singapore or elsewhere? Yes  No
- (r) been or is a corporation where a receiver, receiver and manager, judicial manager, or such other person having the powers and duties of a receiver, receiver and manager, or judicial manager, has been appointed in relation to, or in respect of any property of, the corporation, whether in Singapore or elsewhere? Yes  No

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to question 33 is “Yes”.

### **VIII INFORMATION ON THE PROPOSED REPRESENTATIVE**

34. Name of proposed representative in Singapore:

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35. Where the proposed representative in Singapore is a company, or a foreign company registered under Part XI, Division 2 of the Companies Act (Cap. 50), please state the name of an officer designated as the contact person:

\_\_\_\_\_

36.(a) Address<sup>6</sup> of the proposed representative:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(b) Telephone No.: \_\_\_\_\_

(c) Email address: \_\_\_\_\_

37. Within the past 10 years, has the representative

(a) been refused the right or restricted in its or his right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law in any jurisdiction? Yes  No

(b) been issued a prohibition order under any Act administered by the Authority or been prohibited from operating in any jurisdiction by any financial services regulatory authority? Yes  No

(c) been censured, disciplined, suspended or refused membership or registration by, any regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere? Yes  No

(d) been the subject of any complaint made reasonably and in good faith, relating to activities that are regulated by the Authority or under any law in any jurisdiction? Yes  No

(e) been the subject of any proceedings of a disciplinary or criminal nature or been notified of any potential proceedings or of any investigation which might lead to those proceedings, under any law in any jurisdiction? Yes  No

(f) been convicted of any offence or is being subject to any pending proceedings which may lead to a conviction of any offence, under any law in any jurisdiction? Yes  No

(g) had any judgment (in particular, that associated with a finding of fraud, misrepresentation or dishonesty) entered against it or him in any civil proceedings or is a party to any pending proceedings which may lead to such a judgment, under any law in any jurisdiction? Yes  No

(h) accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction? Yes  No

(i) had any civil penalty enforcement action taken against it or him by the Authority or any other regulatory authority under any law in any jurisdiction? Yes  No

(j) contravened or abetted another person in contravening any laws or regulations, business rules or codes of conduct, whether in Singapore or elsewhere? Yes  No

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<sup>6</sup> The business address of the contact person should be provided where the proposed representative is a company. Otherwise, the residential address should be provided.

- (k) been the subject of any investigations or disciplinary proceedings or been issued a warning or reprimand by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere? Yes  No
- (l) been refused a fidelity or surety bond, whether in Singapore or elsewhere? Yes  No
- (m) been or is unable to fulfill any of its or his financial obligations, whether in Singapore or elsewhere? Yes  No
- (n) entered into a compromise or scheme of arrangement (including a debt repayment scheme) with its or his creditors, or made an assignment for the benefit of its or his creditors, being a compromise, scheme of arrangement or assignment that is still in operation, whether in Singapore or elsewhere? Yes  No
- (o) been or is subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Singapore or elsewhere? Yes  No
- (p) been or is the subject of a winding up petition, whether in Singapore or elsewhere? Yes  No
- (q) been dissolved or is in the course of being wound-up, whether in Singapore or elsewhere? Yes  No
- (r) been or is a corporation where a receiver, receiver and manager, judicial manager, or such other person having the powers and duties of a receiver, receiver and manager, or judicial manager, has been appointed in relation to, or in respect of any property of, the corporation, whether in Singapore or elsewhere? Yes  No

In addition to sub-paragraphs (a) to (r), where the representative is an individual, has the representative within the past 10 years

- (s) been or is a director, partner, substantial shareholder or concerned in the management of a business that has been censured, disciplined, prosecuted or convicted of a criminal offence, or been the subject of any disciplinary or criminal investigation or proceeding, whether in Singapore or elsewhere, in relation to any matter that took place while he was a director, partner, substantial shareholder or concerned in the management of the business? Yes  No
- (t) been or is a director, partner, substantial shareholder or concerned in the management of a business that has been suspended or refused membership or registration by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere? Yes  No
- (u) been a director, partner, substantial shareholder or concerned in the management of a business that has gone into insolvency, liquidation or administration during the period when, or within a period of one year after, he was a director, partner, substantial shareholder or concerned in the management of the business, whether in Singapore or elsewhere? Yes  No
- (v) been dismissed or asked to resign from office, employment, a position of trust, or a fiduciary appointment or similar position, whether in Singapore or elsewhere? Yes  No
- (w) been or is subject to disciplinary proceedings by his current or former employer(s), whether in Singapore or elsewhere? Yes  No

- (x) been disqualified from acting as a director or disqualified from acting in any managerial capacity, whether in Singapore or elsewhere? Yes  No
- (y) been an officer found liable for an offence committed by a body corporate as a result of the offence having proved to have been committed with the consent or connivance of, or neglect attributable to, the officer, whether in Singapore or elsewhere? Yes  No
- (z) been or is the subject of a bankruptcy petition, whether in Singapore or elsewhere? Yes  No
- (za) been adjudicated a bankrupt and the bankruptcy is undischarged, whether in Singapore or elsewhere? Yes  No

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to question 37 is “Yes”.

**IX INFORMATION ON THE CUSTODIAN AND, WHERE APPLICABLE, THE TRUSTEE**

38. Name(s) of the custodian and, where applicable, sub-custodians and the trustee of the scheme:

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39. Place(s) of incorporation of the custodian and, where applicable, sub-custodians and the trustee of the scheme:

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40. Name(s) of regulatory authority(ies) of the custodian and, where applicable, sub-custodians and the trustee of the scheme:

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41. Are the custodian, and where applicable, sub-custodians and the trustee of the scheme, independent<sup>7</sup> of the manager, sub-managers and the responsible person of the scheme? Yes  No

If the answer to question 41 is “No”, please set out the following details in the format below for each person who has an interest in 20% or more of the shares issued by the trustee/custodian/sub-custodian and the manager/sub-manager/responsible person.

(a) Name	(d) Number and class of shares held in manager/sub-manager/responsible person of the scheme or its related corporations
(b) Company Registration No./ Passport No.	(e) Number and class of shares held in trustee/custodian/sub-custodian of the scheme
(c) Country of Incorporation/Nationality	

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<sup>7</sup> For the purposes of question 41, the trustee/custodian/sub-custodian may not be considered independent of the manager/sub-manager/responsible person if any person who has an interest in 20% or more of the shares issued by the trustee/custodian/sub-custodian also has an interest in 20% or more of the shares issued by the manager/sub-manager/responsible person or its related corporations. Such interest would include deemed interest in the shares of the trustee/custodian/sub-custodian or manager/sub-manager/responsible person as the case may be under section 4(4) and (5) of the Act.

Set out any further factors or relationships that may reasonably be expected to affect the ability of the custodian, and where applicable, sub-custodians and the trustee of the scheme to act independently of the manager, sub-managers and the responsible person of the scheme.

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42. Are the custodian and, where applicable, sub-custodians and the trustee of the scheme currently licensed or authorised to carry out their duties as custodian or trustee, as the case may be, in the jurisdiction of their principal place of business? Yes  No
43. Within the past 10 years, has the trustee or custodian of the scheme
- (a) been refused the right or restricted in its right to carry on any trade, business or profession for which a specific licence, registration or other authorisation is required by law in any jurisdiction? Yes  No
  - (b) been issued a prohibition order under any Act administered by the Authority or been prohibited from operating in any jurisdiction by any financial services regulatory authority? Yes  No
  - (c) been censured, disciplined, suspended or refused membership or registration by, any regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere? Yes  No
  - (d) been the subject of any complaint made reasonably and in good faith, relating to activities that are regulated by the Authority or under any law in any jurisdiction? Yes  No
  - (e) been the subject of any proceedings of a disciplinary or criminal nature or been notified of any potential proceedings or of any investigation which might lead to those proceedings, under any law in any jurisdiction? Yes  No
  - (f) been convicted of any offence or is being subject to any pending proceedings which may lead to a conviction of any offence, under any law in any jurisdiction? Yes  No
  - (g) had any judgment (in particular, that associated with a finding of fraud, misrepresentation or dishonesty) entered against it in any civil proceedings or is a party to any pending proceedings which may lead to such a judgment, under any law in any jurisdiction? Yes  No
  - (h) accepted civil liability for fraud, misrepresentation or dishonesty under any law in any jurisdiction? Yes  No
  - (i) had any civil penalty enforcement action taken against it by the Authority or any other regulatory authority under any law in any jurisdiction? Yes  No
  - (j) contravened or abetted another person in contravening any laws or regulations, business rules or codes of conduct, whether in Singapore or elsewhere? Yes  No
  - (k) been the subject of any investigations or disciplinary proceedings or been issued a warning or reprimand by the Authority, any other regulatory authority, an operator of a market or clearing facility, any professional body or government agency, whether in Singapore or elsewhere? Yes  No
  - (l) been refused a fidelity or surety bond, whether in Singapore or elsewhere? Yes  No

- (*m*) been or is unable to fulfill any of its financial obligations, whether in Singapore or elsewhere? Yes  No
- (*n*) entered into a compromise or scheme of arrangement (including a debt repayment scheme) with its creditors, or made an assignment for the benefit of its creditors, being a compromise, scheme of arrangement or assignment that is still in operation, whether in Singapore or elsewhere? Yes  No
- (*o*) been or is subject to a judgment debt which is unsatisfied, either in whole or in part, whether in Singapore or elsewhere? Yes  No
- (*p*) been or is the subject of a winding up petition, whether in Singapore or elsewhere? Yes  No
- (*q*) been dissolved or is in the course of being wound-up, whether in Singapore or elsewhere? Yes  No
- (*r*) been or is a corporation where a receiver, receiver and manager, judicial manager, or such other person having the powers and duties of a receiver, receiver and manager, or judicial manager, has been appointed in relation to, or in respect of any property of, the corporation, whether in Singapore or elsewhere?  
Yes  No

Please attach annex(es), where appropriate, giving all relevant particulars if any answer to question 43 is “Yes”.

**X MISCELLANEOUS**

44. Please set out as annex(es) any additional information considered relevant or material to this application.

**XI DECLARATION**

**Section 329(3) of the Securities and Futures Act (Cap. 289) requires any person who (a) signs any document lodged with the Authority; or (b) lodges with the Authority any document by electronic means using any identification or identifying code, password or other authentication method or procedure assigned to him by the Authority, to use due care in ensuring that the document is not false or misleading in any material particular. Any person who fails to do so shall be guilty of an offence and shall be liable on conviction to a fine not exceeding \$50,000 or to imprisonment for a term not exceeding 2 years or to both.**

We declare that to the best of our knowledge and belief all information given in this application form and in the attached annex(es) is true and correct.

Dated this \_\_\_\_ day of \_\_\_\_\_ 20 \_\_.

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

\_\_\_\_\_  
(Name of Director)

\_\_\_\_\_  
(Name of Director/Secretary\*)

**Details of one of the signatories or a contact person designated by the signatories to this form**

Name: \_\_\_\_\_

Designation: \_\_\_\_\_

Corporation: \_\_\_\_\_

Address: \_\_\_\_\_

Email address: \_\_\_\_\_

Tel No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_